

RECEIVED
OCT 31 2003
GROUP 3600

3

Sheet 1 of 3		FORM PTO 1449 (modified)		ATTY DOCKET NO. 027756-0101		SERIAL NO. 09/410,825	
U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE				APPLICANT Arthur Willard Chaffee		GROUP Unassigned	
LIST OF REFERENCES CITED BY APPLICANT(S) (Use several sheets if necessary)				FILING DATE October 1, 1999			
Date submitted to PTO: January 7, 2000							
U.S. PATENT DOCUMENTS							
*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
N.A.	4,334,270	6/8/82	TOWERS				
A ↓	4,346,442	8/24/82	MUSMANNO				
	4,376,978	3/15/83	MUSMANNO				
	5,021,976	6/4/91	WEXELBLAT et al.				
	5,132,899	7/21/92	FOX				
	5,471,575	11/28/95	GIANSANTE				
	5,517,406	5/14/96	HARRIS et al.				
	5,644,727	7/1/97	ATKINS				
	5,893,079	4/6/99	CWENAR				
	5,918,217	6/29/99	MAGGIONCALDA et al.				
	N.A.	5,926,822	7/20/99	GARMAN			
FOREIGN PATENT DOCUMENTS							
	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO	
OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)							
N.A.		Advent Software: Solutions for Growing Investment Advisors – Business Challenges, 8/17/99, pages 1-3					
A ↓		Advent Software: The Open GL Interface, 8/17/99, pages 1-2					
		Advent Software: Axys Release 3 – Raising the Standard in Portfolio Management, 8/17/99, pages 1-6					
		Centerpiece eReports Web Site Report Publishing, 8/17/99, pages 1-2					
		Centerpiece Sample Reports, 8/17/99, pages 1-2					
		Centerpiece Sample Reports, Portfolio Statement, 8/17/99, pages 1-2					
		Centerpiece Sample Reports, Portfolio Position Analysis, 8/17/99, pages 1-2					
N.A.		Centerpiece Sample Reports, Asset Allocation, 8/17/99, pages 1-2					
EXAMINER N. Subramana				DATE CONSIDERED 12/15/03			

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance.

RECEIVED
OCT 31 2003
GROUP 3600

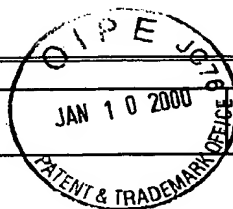


Sheet 2 of 3		FORM PTO 1449 (modified)		ATTY DOCKET NO. 027756-0101		SERIAL NO. 09/410,825		
U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		LIST OF REFERENCES CITED BY APPLICANT(S) (Use several sheets if necessary)		APPLICANT Arthur Willard Chaffee		GROUP Unassigned		
Date submitted to PTO: January 7, 2000		FILING DATE October 1, 1999						
U.S. PATENT DOCUMENTS								
*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
N.J.		4,823,265	4/18/89	Nelson				
N.J.		5,245,535	9/14/93	Weiss et al.				
FOREIGN PATENT DOCUMENTS								
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO	
OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)								
N.J.		Centerpiece Sample Reports, Income Report, 8/17/99, page 1-2						
		Centerpiece Sample Reports, Realized Gains & Losses, 8/17/99, pages 1-2						
		Centerpiece Sample Reports, Realized Gains & Losses, 8/17/99, pages 1-2						
		Centerpiece Sample Reports, Comparative Portfolio Performance Report, 8/17/99, pages 1-2						
		Centerpiece Sample Reports, Portfolio Performance Summary, 8/17/99, pages 1-4						
		Centerpiece Sample Reports, Portfolio Performance Review, 8/17/99, pages 1-4						
		Centerpiece Sample Reports, Portfolio Rebalancing Report, 8/17/99, pages 1-2						
		Centerpiece Sample Reports, Cross-Reference by Securities, 8/17/99, pages 1-2						
		Centerpiece Sample Reports, Global Maturity Report, 8/17/99, pages 1-2						
		Financial Statement & Net Worth, 12/15/98, page 1.1						
		Schedule D Worksheet, 12/15/98, page 18.1						
		Internal Rate of Return Report, 12/15/98, page 13.1						
		Randall Smith, So Far, 'E-Underwriting' Gets a Slow Start, The Wall Street Journal, August 13, 1999, pp. C1, C10.						
		Harbinger ad, The Wall Street Journal, July 30, 1999, page A9						
		American Express ad, The Wall Street Journal, July 30, 1999, page A11.						
		Island ad, The Wall Street Journal, July 29, 1999, Page A25						
N.J.		Discover Brokerage ad, The Wall Street Journal, August 10, 1999, page A5						
EXAMINER		N. Subramana			DATE CONSIDERED			12/15/03

RECEIVED
JAN 12 2000
TC 2700 MAIL ROOM

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

RECEIVED
OCT 31 2003
GROUP 3600



TC 2700 MAIL ROOM

RECEIVED
JAN 12 2000

Sheet 3 of 3		FORM PTO 1449 (modified)		ATTY DOCKET NO. 027756-0101		SERIAL NO. 09/410,825	
U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE				APPLICANT Arthur Willard Chaffee			
LIST OF REFERENCES CITED BY APPLICANT(S) (Use several sheets if necessary)				FILING DATE October 1, 1999		GROUP Unassigned	
Date submitted to PTO: January 7, 2000							
U.S. PATENT DOCUMENTS							
*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
N-J		5,270,922	12/14/93	Higgins			
N-J		5,890,158	3/30/99	House			
N-J		5,706,502	1/6/98	Foley			
FOREIGN PATENT DOCUMENTS							
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)							
N-J		Instinet ad, The Wall Street Journal, July 29, 1999, pages A7-A9					
		iPlanet ad, The Wall Street Journal, July 29, 1999, page B13					
		Web St. ad, The Wall Street Journal, July 27, 1999, page A5					
		Greg Ip, The Stock Exchanges, Long Static, Suddenly Are Roiled by Change, July 27, 1999, pp. A1, A10					
		David Hamilton, Sun Makes Headway in New Business Software, The Wall Street Journal, date unknown					
		Advent Software, Inc., AXYS Portfolio Reports Release 3, 2/99, pages 1-20					
		Carol Marie Cropper, Online Trading Changes Landscape for Old-Line Brokerage Firms, The New York Times on the Web, 9/22/99, pages 1-5					
N-A		Web's Best Bank & Investment Sites, Vol. 5, Issue 9, 1999					
EXAMINER	N. Subramana			DATE CONSIDERED		12/15/03	

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Under the Paperwork Reduction Act of 1995, no person is required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449B/PTO

Date Submitted: October 27, 2003

(use as many sheets as necessary)

1	of	1
---	----	---

Street P E

1

of

1

Complete if Known

Application Number	09/410,825
Filing Date	1 October 1999
First Named Inventor	Arthur W. Chaffee
Group Art Unit	3624
Examiner Name	N. Subramanian
Attorney Docket Number	027756-0101

U.S. PATENT DOCUMENTS

[illegible]

FOREIGN PATENT DOCUMENTS

[illegible]

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ⁶
N.A.	A1	IRS Schedule D (1998), "Capital Gains and Losses".	

Examiner
Signature

N. Subramani

Date
Considered

12/15/03

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Unique citation designation number. ²See attached Kinds of U.S. Patent Documents. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, D.C. 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:** Assistant Commissioner for Patents, Washington, D.C. 20231.